

## Uniform Notice for Funding Opportunity (NOFO) Summary Information

2/29/16

	Data Field	
1.	Awarding Agency Name:	Name of State Agency
2.	Agency Contact:	Agency contact information for the application process: name, email address and phone number
3.	Announcement Type:	<input type="checkbox"/> Initial announcement <input type="checkbox"/> Modification of a previous announcement
4.	Type of Assistance Instrument:	Grant
5.	Funding Opportunity Number:	Required if this number was assigned by the funding entity
6.	Funding Opportunity Title:	CSFA Program Title
7.	CSFA Number:	CSFA Number must be assigned before NOFO can be completed
8.	CSFA Popular Name:	From the CSFA
9.	CFDA Number(s):	Enter "not applicable" if Source of Funding does not include Federal or Federal pass-through funds
10.	Anticipated Number of Awards:	Specify, if known  If unknown, indicate "unknown"
11.	Estimated Total Program Funding:	Total amount of program funding available for award(s)
12.	Award Range	Minimum and maximum award amount  If not applicable, indicate "not applicable"
13.	Source of Funding:	<input type="checkbox"/> Federal or Federal pass-through <input type="checkbox"/> State <input type="checkbox"/> Private / other funding Mark all that apply
14.	Cost Sharing or Matching Requirement:	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.	Indirect Costs Allowed  Restrictions on Indirect Costs	<input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide the citation governing the restriction:
16.	Posted Date:	Date agency posted the NOFO to grants.illinois.gov
17.	Closing Date for Applications:	Due date and time  If there is no due date for applications: indicate "General announcement open for a period of time with no specific due dates for application"
18.	Technical Assistance Session:	Session Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No  Session Mandatory: <input type="checkbox"/> Yes <input type="checkbox"/> No  Specify date and time Provide link to registration, if applicable

## **Agency-specific Content for the Notice of Funding Opportunity**

### **A. Program Description**

This section contains the full program description of the funding opportunity, including the purpose of the program and the program objectives. It may be as long as needed to adequately communicate to potential applicants the areas in which funding may be provided. It describes the State awarding agency's funding priorities (which may be dictated by Federal requirements if the funds are Federal or Federal pass-through) or the technical or focus areas in which the State awarding agency intends to provide assistance.

As appropriate, it may include any program history (e.g., whether this is a new program or a new or changed area of program emphasis). This section may communicate indicators of successful projects (e.g., if the program encourages collaborative efforts) and may include examples of projects that have been funded previously. This section also may include other information the State awarding agency deems necessary, and must at a minimum include citations for authorizing statutes and regulations for the funding opportunity.

Goals and measurement (Performance Measures) for the program should be outlined in this section. 2 CFR 200.76 defines a performance goal as a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. The agency should specify clear performance goals, indicators or milestones including timing and scope of expected performance as related to the outcomes intended to be achieved by the program. The agency must require the grantee to relate financial data to performance accomplishments of the award. Performance should be measured in a way that helps the state agency improve program outcomes, share lessons learned and spread the adoption of promising practices. Program-specific requirements should ultimately be aligned with agency strategic goals, results areas and outcomes as supported by the Illinois Performance Reporting System (IPRS).

### **B. Funding Information**

This award is utilizing federal pass-through, state and/ or private funds. [Agency will specify.]

This section provides sufficient information to help an applicant make an informed decision about whether to submit a proposal. Relevant information could include the total amount of funding that the State awarding agency expects to award through the announcement; the anticipated number of State awards; the expected amounts of individual State awards (which may be a range); the amount of funding per State award, on average, experienced in previous years; and the anticipated start dates and periods of performance for new State awards; the allowable and unallowable costs (or expenses). This section also should address whether applications for renewal or supplementation of existing projects are eligible to compete with applications for new State awards. This section also must indicate the type(s) of assistance instrument (e.g., grant) that may be awarded if applications are successful.

The agency must instruct the applicant to submit a project plan that describes how the award will be executed. The project plan should include necessary detail to enable the agency to manage the grant agreement activity against planned project performance.

### **C. Eligibility Information**

This section addresses the considerations or factors that determine applicant or application eligibility. This includes the eligibility of particular types of applicant organizations, any factors affecting the eligibility of the principal investigator or project director, and any criteria that make particular projects ineligible. State agencies should make clear whether an applicant's failure to meet an eligibility criterion by the time of an application deadline will result in the State awarding agency returning the application without review or, even though an application may be reviewed, will preclude the State awarding agency from making a State award.

An entity may apply for a grant but will not be eligible for a grant award until the entity has pre-qualified through the Grant Accountability and Transparency Act (GATA) Grantee Portal, [www.grants.illinois.gov](http://www.grants.illinois.gov). During pre-qualification, Dun and Bradstreet verifications are performed including a check of Debarred and Suspended status and good standing with the Secretary of State. The pre-qualification process also includes a financial and administrative risk assessment utilizing an Internal Controls Questionnaire. If applicable, the entity will be notified that it is ineligible for award as a result of the Dun and Bradstreet verification. The entity will be informed of corrective action needed to become eligible for a grant award.

Key elements to be addressed are:

1. **Eligible Applicants.** Announcements must clearly identify the types of entities that are eligible to apply. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, it is important to be clear about the specific types of entities that are eligible, not just the types that are ineligible. For example, if the program is limited to nonprofit organizations subject to 26 U.S.C. 501(c)(3) of the tax code (26 U.S.C. 501(c)(3)), the announcement should say so. Eligibility also can be expressed by exception, (e.g., open to all types of domestic applicants other than individuals). This section should include references to specifying documentation that must be submitted to support an eligibility determination (e.g., proof of 501(c)(3) status as determined by the Internal Revenue Service). To the extent that any funding restriction could affect the eligibility of an applicant or project, the announcement must either restate that restriction in this section or provide a cross-reference to its description.

Agencies should seek cultural inclusion among grantees. The agency must comply with all applicable provisions of state and federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to: The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*), The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a-and 2000H-6), Section 504 of the Rehabilitation Act of 1973 (29 USC 794), The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*), and The Age Discrimination Act (42 USC 6101 *et seq.*).

2. **Cost Sharing or Matching.** Announcements must state whether there is required cost sharing, matching, or cost participation without which an application would be ineligible (if cost sharing is not required, the announcement must explicitly say so). Required cost sharing may be a certain percentage or amount, or may be in the form of contributions of specified items or activities (e.g., provision of equipment). It is important that the announcement be clear about any restrictions on the types of cost (e.g., in-kind contributions) that are acceptable as cost sharing. Cost sharing as an eligibility criterion includes requirements based in statute or regulation, as described in § 200.306 Cost Sharing or Matching. This section should refer to the appropriate portion(s) of Application and Submission Information stating any pre-award requirements for submission of letters or other documentation to verify commitments to meet cost-sharing requirements if a State award is made.
3. **Indirect Cost Rate.** In order to charge indirect costs to a grant, the applicant organization must have an annually negotiated indirect cost rate agreement (NICRA). There are three types of NICRAs: a) Federally Negotiated Rate. Organizations that receive direct federal funding, may

have an indirect cost rate that was negotiated with the Federal Cognizant Agency. Illinois will accept the federally negotiated rate. The organization must provide a copy of the federally NICRA. b) State Negotiated Rate. The organization must negotiate an indirect cost rate with the State of Illinois if they do not have Federally Negotiated Rate or elect to use the De Minimis Rate. The indirect cost rate proposal must be submitted to the State of Illinois within 90 days of the notice of award. c) De Minimis Rate. An organization that has never received a Federally Negotiated Rate may elect a de minimis rate of 10% of modified total direct cost (MTDC). Once established, the de minimis rate may be used indefinitely. The State of Illinois must verify the calculation of the MTDC annually in order to accept the de minimis rate.

Limitations on indirect costs restrict the amount and/or type of indirect costs that are allowed to be charged to grant awards. Indirect cost limitations and restrictions must be clearly stated in this section. For example, the grant award may be subject to state and federal statutory requirements that limit the allowability of costs. The maximum amount allowable under a limitation cannot exceed the total amount under the NICRA. State and federal statutes may restrict the amount of salary that can be charged to a grant award, if the base salary exceeds the Federal Executive Level II Pay Scale. If additional statutory restrictions or limitations are imposed, such as parameters for direct administrative costs, facility costs, and indirect administrative cost levels, those restrictions or limitations must be stated in this section. The statutory reference or guidance imposing the indirect cost limitation or restriction must also be stated within this section.

4. **Other, if applicable.** If there are other eligibility criteria (i.e., criteria that have the effect of making an application or project ineligible for State awards, whether referred to as “responsiveness” criteria, “go-no go” criteria, “threshold” criteria), it must be clearly stated and must include a reference to the regulation of requirement that describes the restriction, as applicable. For example, if entities that have been found to be in violation of a particular Federal or State statute are ineligible, it is important to say so. This section must also state any limit on the number of applications an applicant may submit under the announcement and make clear whether the limitation is on the submitting organization, individual investigator/program director, or both. This section should also address any eligibility criteria for beneficiaries or for program participants other than Federal pass-through or State award recipients.

#### **D. Application and Submission Information**

1. **Address to Request Application Package.** Potential applicants must be told how to get application forms, kits, or other materials needed to apply (if this announcement contains everything needed, this section should specify that all application materials are provided through this announcement). An Internet address for accessing materials is acceptable. However, since high-speed Internet access is not yet universally available for downloading documents, and applicants may have additional accessibility requirements, there must also be a way for potential applicants to request paper copies of materials, such as a U.S. Postal Service mailing address, telephone or FAX number, Telephone Device for the Deaf (TDD), Text Telephone (TTY) number, and/or Federal or State Information Relay Service (FIRS) number.
2. **Content and Form of Application Submission.** This section must identify the required content of an application and the forms or formats that an applicant must use to submit it. If any requirements are stated elsewhere, this section should refer to where those requirements may be found. This section also should include required forms or formats as part of the announcement or state where the applicant may obtain them. This section should specifically address content and form or format requirements for:

i. Pre-applications, letters of intent, or white papers required or encouraged, including any limitations on the number of pages or other formatting requirements similar to those for full applications.

ii. The application as a whole. For all submissions, this would include any limitations on the number of pages, font size and typeface, margins, paper size, number of copies, and sequence or assembly requirements. If electronic submission is permitted or required, this could include special requirements for formatting or signatures.

iii. Component pieces of the application (e.g., if all copies of the application must bear original signatures on the face page or the program narrative may not exceed 10 pages). This includes any pieces that may be submitted separately by third parties (e.g., references or letters confirming commitments from third parties that will be contributing a portion of any required cost sharing).

iv. Information that successful applicants must submit after notification of intent to make a State award, but prior to a State award. This could include evidence of compliance with requirements relating to human subjects or information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. 4321-4370h).

3. ***Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)***. This paragraph must state clearly that each applicant (unless the applicant is an individual or Federal or State awarding agency that is exempt from those requirements under 2 CFR § 25.110(b) or (c), or has an exception approved by the Federal or State awarding agency under 2 CFR § 25.110(d)) is required to:

(i) Be registered in SAM before submitting its application. If you are not registered in SAM, this link provides a connection for SAM registration:  
<https://governmentcontractregistration.com/sam-registration.asp>;

(ii) provide a valid DUNS number in its application; and

(iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal, Federal pass-through or State award or an application or plan under consideration by a Federal or State awarding agency. It also must state that the State awarding agency may not make a Federal pass-through or State award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the State awarding agency is ready to make a Federal pass-through or State award, the State awarding agency may determine that the applicant is not qualified to receive a Federal pass-through or State award and use that determination as a basis for making a Federal pass-through or State award to another applicant.

4. ***Submission Dates and Times***.

Announcements must identify due dates and times for all submissions. Competitive funding opportunities must be available for application for at least forty-five (45) calendar days. No funding opportunity should be available for less than 30 calendar days unless exigent circumstances require as determined by the state awarding agency. This includes not only the full application but also any preliminary submissions (e.g., letters of intent, white papers, or pre-applications). It also includes any other submissions of information before State award that are separate from the full application.

If the funding opportunity is a general announcement that is open for a period of time with no specific due dates for applications, this section should say so. Note that the information on dates that are included in this section also must appear in the Summary Information). Each type of submission should be designated as encouraged or required and, if required, any deadline date

(or dates, if the State awarding agency plans more than one cycle of application submission, review, and State award under the announcement) should be specified. The announcement must state (or provide a reference to another document that states):

- i. Any deadline in terms of a date and local time. If the due date falls on a Saturday, Sunday, or Federal or State holiday, the reporting package is due the next business day.
- ii. What the deadline means (e.g., whether it is the date and time by which the State awarding agency must receive the application, the date by which the application must be postmarked, or something else) and how that depends, if at all, on the submission method (e.g., mail, electronic, or personal/courier delivery).
- iii. The effect of missing a deadline (e.g., whether late applications are neither reviewed nor considered or are reviewed and considered under some circumstances).
- iv. How the receiving State office determines whether an application or pre-application has been submitted before the deadline. This includes the form of acceptable proof of mailing or system-generated documentation of receipt date and time.

This section also may indicate whether, when, and in what form the applicant will receive an acknowledgement of receipt. This information should be displayed in ways that will be easy to understand and use. A tabular form for providing a summary of the information may help applicants for some programs and give them what effectively could be a checklist to verify the completeness of their application package before submission.

5. **Intergovernmental Review, if applicable.** If the funding opportunity is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs," the notice must say so. In alerting applicants that they must contact their state's Single Point of Contact (SPOC) to find out about and comply with the state's process under Executive Order 12372, it may be useful to inform potential applicants that the names and addresses of the SPOCs are listed in the Office of Management and Budget's Web site. [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).
6. **Funding Restrictions.** Notices must include information on funding restrictions in order to allow an applicant to develop an application and budget consistent with program requirements. Examples are whether construction is an allowable activity, if there are any limitations on direct costs such as foreign travel or equipment purchases, and if there are any limits on indirect costs (or facilities and administrative costs). Applicants must be advised if State awards will not allow reimbursement of pre-award costs.
7. **Other Submission Requirements.** This section must address any other submission requirements not included in the other paragraphs of this section. This might include the format of submission, i.e., paper or electronic, for each type of required submission. Applicants should not be required to submit in more than one format and this section should indicate whether they may choose whether to submit applications in hard copy or electronically, may submit only in hard copy, or may submit only electronically.

This section also must indicate where applications (and any pre-applications) must be submitted if sent by postal mail, electronic means, or hand-delivery. For postal mail submission, this must include the name of an office, official, individual or function (e.g., application receipt center) and a complete mailing address. For electronic submission, this must include the URL or email address; whether a password(s) is required; whether particular software or other electronic capabilities are

required; what to do in the event of system problems and a point of contact who will be available in the event the applicant experiences technical difficulties.<sup>1</sup>

## E. Application Review Information

1. **Criteria.** This section must address the criteria that the State awarding agency will use to evaluate applications. This includes the merit and other review criteria that evaluators will use to judge applications, including any statutory, regulatory, or other preferences (e.g., minority status preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to make the application process transparent so applicants can make informed decisions when preparing their applications to maximize fairness of the process. The announcement should clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned).

If an applicant's proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion), the announcement must specifically address how it will be considered (e.g., to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, the announcement should state this so there is no ambiguity. Vague statements that cost sharing is encouraged without clarification as to what that means are unhelpful to applicants. It also is important that the announcement be clear about any restrictions on the types of cost (e.g., in-kind contributions) that are acceptable as cost sharing.

2. **Review and Selection Process.**

In addition to the narrative from the Merit Based Review Policy, the announcement must list any program policy or other factors or elements, other than merit criteria, that the agency may use in selecting applications for State award (e.g., geographical dispersion, program balance, or diversity). The State awarding agency may also include other appropriate details such as who is responsible for evaluation against the merit criteria (e.g., peers external to the State awarding agency or State awarding agency personnel) and/or who makes the final selections for State awards. If there is a multi-phase review process (e.g., an external panel advising internal State awarding agency personnel who make final recommendations to the deciding official), the announcement must specify the phases and may describe the phases. It also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. The appeal process must also be specified pursuant to the Merit Based Review Policy.

With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each State awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d). In addition, *if* the State awarding agency permits applicants to nominate suggested reviewers of their applications or suggest those they feel may be inappropriate due to a conflict of interest, that information should be included in this section.

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<sup>1</sup> With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each State awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

- 3. *Anticipated Announcement and State Award Dates, if applicable.*** This section is intended to provide applicants with information they can use for planning purposes. If there is a single application deadline followed by the simultaneous review of all applications, the State awarding agency can include in this section information about the anticipated dates for announcing or notifying successful and unsuccessful applicants and for having State awards in place. If applications are received and evaluated on a “rolling” basis at different times during an extended period, it may be appropriate to give applicants an estimate of the time needed to process an application and notify the applicant of the State awarding agency's decision.

## **F. Award Administration Information**

- 1. *State Award Notices.*** This section must address what a successful applicant can expect to receive following selection. If the State awarding agency's practice is to provide a separate notice stating that an application has been selected before it actually makes the State award, this section would be the place to indicate that the letter is not an authorization to begin performance (to the extent that it allows charging to State awards of pre-award costs at the non- State entity's own risk). This section should indicate that the notice of State award signed by the grants officer (or equivalent) is the authorizing document, and whether it is provided through postal mail or by electronic means and to whom. It also may address the timing, form, and content of notifications to unsuccessful applicants. See also § 200.210 Information contained in a State award.
- 2. *Administrative and National Policy Requirements.*** This section must identify the usual administrative and national policy requirements the State awarding agency's State awards may include. Providing this information lets a potential applicant identify any requirements with which it would have difficulty complying if its application is successful. This section should reference the detailed indirect cost rate requirements and limitations as stated in Section C. 3. Indirect Cost Rate. Early notification about the requirements allows the potential applicant to decide if they should and/or could apply or to take needed actions before receiving the State award. The announcement need not include all of the terms and conditions of the State award, but must refer to the Notice of State Award (NOSA) to be distributed by the awarding agency prior to issuance of a grant agreement. The NOSA will specify the terms and conditions of the award.

If this funding opportunity will lead to State awards with special terms and conditions that differ from the State awarding agency's usual (sometimes called “general”) terms and conditions, this section should highlight those special terms and conditions. Doing so will alert applicants that have received State awards from the State awarding agency previously and might not otherwise expect different terms and conditions. For the same reason, the announcement should inform potential applicants about special requirements that could apply to particular State awards after the review of applications and other information, based on the particular circumstances of the effort to be supported (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements). The “general” terms and conditions are also specified in the NOSA.

- 3. *Reporting.*** This section must include general information about the type (e.g., financial or performance), frequency, and means of submission (paper or electronic) of post- State award reporting requirements. Highlight any special reporting requirements for State awards under this funding opportunity that differ (e.g., by report type, frequency, form/format, or circumstances for use) from what the State awarding agency's State awards usually require.

## **G. State Awarding Agency Contact(s)**

The announcement must give potential applicants a point(s) of contact for answering questions or helping with problems while the funding opportunity is open. The intent of this requirement is to be as helpful as possible to potential applicants, so the State awarding agency should consider approaches such as giving:

1. Points of contact who may be reached in multiple ways (e.g., by telephone, FAX, and/or email, as well as regular mail).
2. A fax or email address that multiple people access, so that someone will respond even if others are unexpectedly absent during critical periods.
3. Different contacts for distinct kinds of help (e.g., one for questions of programmatic content and a second for administrative questions)

#### **H. Other Information, if applicable**

This section may include any additional information that will assist a potential applicant. For example, the section might:

1. Indicate whether this is a new program or a one-time initiative.
2. Mention related programs or other upcoming or ongoing State awarding agency funding opportunities for similar activities.
3. Include current Internet addresses for State awarding agency Web sites that may be useful to an applicant in understanding the program.
4. Alert applicants to the need to identify proprietary information and inform them about the way the State awarding agency will handle it.
5. Include certain routine notices to applicants (e.g., that the State government is not obligated to make any State award as a result of the announcement or that only grants officers can bind the State government to the expenditure of funds).

#### **Mandatory Forms -- Required for All Agencies**

1. Uniform State Grant Application
2. Project Narrative
3. Budget
4. Budget Narrative